

OCFO's Technical Guidance on FY 2009 National Program Manager Guidance and the Annual Commitment Process and System

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I. Introduction

This guidance provides context and instructions to facilitate the development and use of FY 2009 National Program Manager (NPM) guidance documents, and focuses on two areas:

- 1) Developing FY 2009 NPM priorities, strategies, and associated measures; and,
- 2) Reporting results for FY 2008 performance commitments, and negotiating agreements for FY 2009 performance commitments.

The NPM guidance supports the following key objectives for FY 2009:

- Developing NPM priorities and strategies that align with the Administrator's priorities, regional priorities, and emerging national initiatives where applicable;
- Improving, aligning, and streamlining measures used to track Agency progress in achieving annual and long-term results;
- Enhancing EPA's Annual Commitment System (ACS) as "Measures Central" to house Agency performance measures;
- Strengthening OCFO's governance role in improving the quality, consistency and reliability of measures and related data and reporting; and,
- Increasing transparency of the NPM guidance process through greater use of checklists, templates and on OCFO's website (<http://www.epa/ocfo/npmguidance/index.htm>) in order to facilitate more meaningful regional, state and tribal involvement.

FY 2009 NPM guidance documents will describe priorities, strategies, and measures to achieve the objectives in EPA's *2006-2011 Strategic Plan* and to implement decisions in EPA's *FY 2009 Annual Plan and Budget*. The NPM guidance development process is a key venue for aligning NPM priorities with Administrator and regional priorities, and emerging national initiatives. It is an important opportunity to improve and streamline measures and establish the smallest set to support program planning and management and to demonstrate accountability for results.

EPA's FY 2009 annual commitment process and schedule will be similar to prior years. In Spring and Summer of 2008, NPMs and regions, with input from states, tribes, and stakeholders, will negotiate annual performance commitments and reach final agreement in Fall 2008. OCFO will continue to enhance the ACS and develop additional performance reports in OCFO's

What's New for FY 2009?

√ *More deliberate consideration of Administrator's and regional priorities, and emerging national initiatives in developing NPM priorities, strategies and measures*

√ *Broader scope of measures review (i.e., Quarterly Management Report, regional priority, annual commitments) formalized in NPM guidance process*

√ *Formal incorporation of annual measures review and streamlining effort.*

√ *Stronger OCFO governance role for improving quality and consistency of measures*

√ *More formal Agency mid-year reporting and analysis of performance results*

√ *More focused attention to consider options for standardizing state grant work plans as next step in state grant measures template effort*

√ *Additional tools (e.g., checklists, templates) to increase transparency of NPM guidance process and facilitate more meaningful regional, state and tribal involvement*

Reporting and Business Intelligence Tool (ORBIT) to provide easier access to and use of performance information by NPMs and regions.

For more information refer to **Attachment 1** for a list of key contacts by topic area.

II. Development of National Program Manager Guidance

This section of OCFO's guidance includes four key areas:

- A. Guidelines for Developing NPM Priorities
- B. Considerations for Developing FY 2009 Measures
- C. Measuring Results in State Grant Work Plans
- D. Format Requirements and Key Milestones

A. Guidelines for Developing NPM Priorities

EPA's *2006-2011 Strategic Plan* presents the long-term Agency vision for improving human health and the environment, and along with EPA's *FY 2009 Annual Plan and Budget*, provides the framework for the FY 2009 NPM guidance documents. These guidance documents establish program direction, priorities, and strategies for FY 2009. Specifically, after careful consideration of environmental and performance trend data, the NPMs identify annual priorities, which drive more detailed implementation efforts, including any necessary resource or performance commitment adjustments. While some priorities may not change significantly from one year to the next, strategies for achieving the priorities will likely undergo adjustments. NPMs will engage with regions, states, and tribes in developing NPM priorities and strategies, paying particular attention to alignment with the Administrator's and regional priorities, and emerging national initiatives.

NPMs will describe how regional priorities and strategies directly or indirectly support achievement of NPM priorities, and how NPM priorities and strategies support the achievement of Administrator priorities and Agency-wide initiatives in relevant sections of FY 2009 guidance documents. Key considerations are outlined below.

- *For regional priorities and strategies:* NPMs will analyze regional and NPM priorities and strategies to identify where they are the same, similar but complementary, or different. NPMs will adjust their priorities and strategies to incorporate regional priorities and strategies to the extent possible. Refer to **Attachment 2** for a list of regional priorities by region.
- *For Administrator's priorities (identified below):* NPMs will review *Administrator's Priority Action Plans* and adjust NPM priorities and strategies, as appropriate and to the extent possible, to support the achievement of the Administrator's priorities.
 1. Homeland Security: EPA is not just a guardian of our environment; it's also a guardian of our homeland.
 2. A Stronger EPA: To meet the environmental challenges of the next decade, EPA must ensure we continue to have the right people, trained in the right disciplines, with the right problem-solving skills.

3. Improving our Nation's Drinking Water and Waste Water Infrastructure: The challenge of our nation's water and wastewater infrastructure is not an EPA challenge, or a local challenge. It's everyone's challenge.
 4. Clean Energy and Climate Change: By promoting clean power solutions and clean energy innovation, EPA is doing what's good for our environment and good for our security.
- *For Agency-wide initiatives*: NPMs will adjust their priorities and strategies, as appropriate, to carry out and support the achievement of Agency-wide initiatives (e.g., environmental justice, reporting burden reduction, port security, import safety, nanotechnology), as illustrated below.
 - For FY 2009, NPMs will develop their ***Environmental Justice (EJ) Action Plan*** commitments concurrently with the development of their FY 2009 NPM guidance documents. EJ Action Plan commitments should be based upon NPM priorities and strategies. The Action Plans should demonstrate how EJ activities support Agency efforts to achieve annual and longer-term goals in EPA's *FY 2009 Annual Plan and Budget* and *2006-2011 Strategic Plan*.
 - NPMs will include in their FY 2009 guidance documents the list of reporting requirements, provided by OCIR, which will be eliminated or modified by the end of FY 2008. The purpose of this is to reaffirm the Agency's commitment to implement almost 60% (~143) of the state recommendations to ***reduce reporting burden***. The NPM documents should encourage regions to work with their states to ensure broad and consistent implementation of the recommendations. NPMs should also consider implications of implementing both these recommendations and remaining recommendations, where applicable, in developing their FY 2009 priorities and strategies.

B. Considerations for Developing FY 2009 Measures

Consistent with the Deputy Administrator's January 12, 2007, memorandum, "Performance Measurement – the Road Ahead," OCFO is assuming a stronger governance role for Agency-wide performance measurement and management, and is advancing the following efforts:

- ***Enhancing the ACS as Measures Central*** by including a broader set of Agency measures (e.g., QMR, regional priority measures) and integrating ACS more closely with a companion database, PERS (Performance and Environmental Results System), which includes measures identified in EPA's annual plan and budget documents.
- ***Reviewing, streamlining, and improving the coordination of measures used for different reporting purposes*** as an integral part of FY 2009 NPM guidance development and building on progress made in the FY 2008 measures review.

- ***Improving the quality and consistency of Agency measures*** (and associated data and reporting) through the use and adherence to measures criteria and guidelines.
- ***Creating and maintaining a stable set of measures as the basis for routine analyses of performance trend data*** to track progress in achieving quarterly, annual, and long-term results and more effectively tell our story to the public (e.g., QMR, annual performance and accountability reports).
- ***Developing standardized practices and protocols*** (e.g., definitions, rules, processes) and implementing system improvements in ACS to support easier access to and analysis of performance information to inform Agency decision making.

Implementation of these improved governance practices will be supported by EPA's Agency Performance Management Work Group. This is a standing work group convened by OCFO and comprised of regional and program office senior staff, charged with addressing the spectrum of performance measurement and management issues. The Work Group's goal for the Agency's FY 2009 measures review is two-fold: 1) to improve and streamline Agency measures to the maximum extent possible; and, 2) to align and coordinate these measures with other measures in EPA's annual planning and budget documents.

Specifically, EPA's FY 2009 Measures Review, Improvement and Streamlining Initiative broadens the scope of last year's FY 2008 measures review beyond the set of annual commitment measures traditionally negotiated between regions and NPMs. The FY 2009 measures review will also include QMR measures, regional priority measures, state grant template measures and headquarters measures discussed in regular check-in meetings with the Deputy Administrator.

To date, programs and regional offices have changed the QMR measures and regional priority measures through conversations with the Deputy Administrator on an ad-hoc basis. In FY 2008 the Agency is instituting a more formalized change control process for any adjustments needed to be made to QMR measures on a quarterly basis. Recommendations resulting from the annual Agency-wide measures review will be incorporated into this process.

The Performance Management Work Group designed a deliberative and targeted approach for the FY 2009 measures review. As the initial step, the Work Group compiled a complete list of the measures under review in the context of how they support broader Agency goals, including other Agency measures (i.e., Government Performance and Results Act- GPRA; Program Assessment Rating Tool-PART) and how measures are used for multiple purposes (i.e., both an annual commitment measure and a QMR measure). The Work Group examined the measures to identify the subset of measures with the greatest opportunity for improvement or streamlining.

The Work Group will make specific recommendations on improving or streamlining measures, and highlight proposals that require senior management consideration and decisions by early November. The Work Group will identify the level of management required to consider and resolve individual issues, and will provide these managers with background materials, summaries of the issues, and options for resolution. As required, OCFO will convene DAA/DRA-level discussions in mid-November.

During this time, and consistent with agreements reached with the Environmental Council of States (ECOS)/EPA Performance Partnership Work Group, OCFO is facilitating state involvement focused primarily on reviewing and recommending changes to state grant template measures for FY 2009 state grant work plans.

Based on discussions and comments received, NPMs will review proposals for changing measures and compile a list of FY 2009 measures in January. NPMs will review this list with senior management and incorporate any resulting changes and recommendations to FY 2009 measures in the measures appendix of the draft FY 2009 NPM guidance documents issued for comment in February 2008, and the final measures appendix issued in April 2008. A full list of final recommendations will be available on OCFO's website.

Desired outcomes of the FY 2009 measures review are highlighted below:

- *Creation of the smallest set of measures* for NPMs to demonstrate national program accountability, support effective program management, and communicate results in a clear and transparent way to Agency managers and staff and the general public.
- *Agreement reached on key sets of measures used for specific purposes:*
 - *Regional Annual Commitment Measures* and indicators to support achievement of FY 2009 NPM priorities;
 - *State Grant Performance Measures* to be included in FY 2009 state grant work plans for specified categorical grants;
 - *QMR and Regional Priority Measures* to be reported in FY 2009 QMRs and/or discussed with the Deputy Administrator. Note that the measures review may also impact these measures for FY 2008; and
 - *Senior Management Measures*, an internal set of measures which provide a key focus for NPM Deputy Assistant Administrators and Deputy Regional Administrators and are included in FY 2009 organizational assessments.
- *Improved quality of measures as a result of meeting **required** measures criteria:*
 - Describe a key aspect of program progress in support of a strategic target, or the lowest level with a quantifiable measure, in EPA's 2006-2011 Strategic Plan;
 - Serve multiple performance assessment purposes to the extent possible (e.g., as an annual commitment measure and regional priority measure);
 - Be used by NPMs and regions to track progress, assess results, and inform decisions;
 - Be clearly defined with an identified data source and rely on existing national data systems where applicable;
 - Be supported by data that can be reported in a timely fashion (within the reporting requirements of the measure); and
 - Not be redundant with other measures.
- *Increased consistency of measures as the basis for better analysis and reporting as a result of meeting the **suggested** guidelines for inclusion in the ACS:*

- Be as quantitative as feasible, showing contributions of individual offices, regions, states, and tribes toward a higher-level Agency measure (e.g., annual performance measure in EPA's budget documents);
- Have suitable and appropriate targets to the extent practicable;
- Have baselines (or work should be underway by programs to establish baselines);
- Be suited to fulfill their intended purpose;
- Be stable over time, to the greatest extent possible; and
- Have data that meet specified requirements for data quality.

For more clarification on these suggested guidelines, see **Attachment 3**.

- *Progress achieved in reducing state reporting burden*, where applicable, as a result of implementing recommendations submitted by states in response to the Deputy Administrator's initiative launched in 2006.

C. Measuring Results in State Grant Work Plans

EPA grant regulations in 40 CFR Part 35 require state grant work plans to include a set of standard components, with corresponding budgets, work years, and measures (i.e., outcomes and outputs). To advance efforts to demonstrate grant results, NPMs and regions, in cooperation with states and tribes, will develop options for core work plan components and measures as the basis for developing work plans and negotiating grant agreements.

In FY 2007 and FY 2008 President's Budgets, OMB directed EPA to develop a standardized state template that links to the *Strategic Plan*, provides consistent requirements for regular performance reporting, and allows for meaningful comparison of states activities. As a first step in addressing this requirement in FY 2007, EPA and states developed a state grant measures template to establish a consistent approach and a common set of measures for presenting results in categorical grant work plans. EPA and the states have learned many lessons in working through FY 2007 implementation issues and are continuing the FY 2007 approach in FY 2008.

However, EPA and the states are considering possible changes for FY 2009, which may include consideration of options to standardize state grant work plans. EPA and the states are currently discussing the scope and timing of changes to be implemented in FY 2009, and anticipate the development and agreement on recommendations by Winter 2008 and the issuance of guidance in early Fall of 2008.

Review of and agreement on FY 2009 state grant measures will occur as part of EPA's FY 2009 Measures Review, Improvement and Streamlining effort. EPA, in consultation with the state/EPA Partnership and Performance Work Group, is reviewing FY 2008 state grant template measures as a starting point for developing a common set of FY 2009 measures to be included in specified categorical grant work plans. Of particular importance to the states is the extent to which the measures 1) are representative of the work performed and fully capture the results being achieved by the states; and 2) are workload neutral (i.e., pose no new reporting burden). As part of this review, EPA and states may also consider adding other relevant existing ACS measures or other measures to more fully represent results. EPA and states may also exercise their discretion to include additional measures in individual state grant work plans to supplement the common set of ACS state grant measures. Draft FY 2009 NPM guidance documents issued

in February 2008 will identify the subset of measures being proposed as FY 2009 state grant performance measures.

D. Format Requirements and Key Milestones

NPMs continue to have flexibility to develop their FY 2009 guidance documents in the manner they believe most appropriate. OCFO has developed templates designed to facilitate more meaningful involvement by regions, states, and tribes. In addition, OCFO requires that all FY 2009 NPM guidance documents include some common and consistently displayed elements in order to improve transparency and communications, as identified below.

- Paginated table of contents
- Executive Summary which briefly (no more than 3 pages) highlights key national priorities and strategies, and significant changes in priorities or strategies from FY 2008 NPM guidance documents. Refer to **Attachment 4** for a more detailed outline for preparing the Executive Summary. Please note that the template in **Attachment 7** will identify in more detail specific changes between FY 2008 and FY 2009 guidance documents.
- Key national program strategies and priorities involving regions, states, or tribes. Strategies and priorities that support the Administrator's four priorities, established regional priorities or key national initiatives should be identified.
- Brief synopsis of the NPM's feedback process designed and used to consider and respond to major comments objectively and promote accountability.
- State grant work plan instructions for regions and states on addressing the issues associated with grant work plan components and/or performance measures. New this year, NPMs, where applicable, will promote the use of the Exchange Network by including the following statement in their FY 2009 NPM guidance documents:
 - EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. Where data exchange using the Exchange Network is available, states, tribes and territories exchanging data with each other or with EPA should make the Exchange Network and EPA's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at www.exchangenetwork.net.
- Required attachments to FY 2009 NPM guidance documents are identified below. Note that all documents will be posted on OCFO's website unless otherwise noted.

- **FY 2009 Measures Appendix (Attachment 5)** provides easy reference to and clear identification of annual commitment measures and non-commitment indicators that require reporting by the regions, states or tribes. NPMs should include draft national targets and draft regional targets to the extent that NPMs wish to communicate initial performance expectations based on discussions already underway with the regions. NPMs should set targets which are no lower than FY 2007 actual results or FY 2008 commitments unless there is a compelling reason to do so (see **Attachment 9**). In addition to the required standardized format for the Measures Appendix, NPMs may prepare additional measures appendices to present supplemental information.
- **FY 2009 State Grant Measures Appendix (Attachment 6).** NPMs will generate a separate attachment listing state grant measures using the template provided. This will largely be a subset of the excel spreadsheet used for the Measures Appendix in Attachment 5.
- **Explanation of Key Changes between FY 2008 and FY 2009 (Attachment 7)** will help readers and reviewers understand the rationale, context and scope of changes to priorities, strategies, and measures. The Explanation of Key Changes will be submitted with the draft guidance document.
- **Response to Comments Summary (Attachment 8)** provides a list of major comments received on the draft FY 2009 NPM guidance documents, and a brief explanation as to how these comments were addressed or incorporated into the final Guidance. The Response to Comments Summary is due with the final guidance document.
- **Explanation of Key Changes in Measures Targets (Attachment 9)** provides a justification for internal Agency purposes only to OCFO for any targets which are less than FY 2007 results or FY 2008 targets. This information will not be posted on OCFO's website. The template will be submitted with the final guidance document.

NPMs should submit draft and final FY 2009 NPM guidance documents to OCFO in both a Word and a PDF format that is compliant with §508 of the U.S. Rehabilitation Act, which requires that all Federal Government web pages are accessible to people with disabilities.¹

NPMs should follow guidelines in accordance with EPA Order 2100.1. For more information, see *EPA Web Work Group, Accessibility/508 Standards* at <http://intranet.epa.gov/webgroup/accessibility.html>.

Please note: simple conversion of a document to PDF format does NOT make it §508 compliant.

OCFO will distribute FY 2009 NPM guidance documents as in past years. OCFO will post all NPM guidance documents to the OCFO website and e-mail the link to NPMs, regions, states and tribes to promote consideration of all NPM priorities, strategies, and measures concurrently. The schedule of milestones provided below allows approximately four weeks for regions, states, and

¹ See <http://www.section508.gov/> for government-wide Section 508 information.

tribes to review and comment on the draft FY 2009 NPM guidance documents. During this time, NPMs will engage in a dialogue with regions, states and tribes, as appropriate to get their input.

Key Milestones for Development of the FY 2009 National Program Manager Guidance	
October 12, 2007	CFO Policy Memo on Developing FY 2009 NPM Guidance released
October 18, 2007	OCFO Technical Guidance on FY 2009 NPM Guidance and the Annual Commitment Process and System released
Mid-November 2007	Senior management review and feedback on changes to FY 2009 measures
January 2008	NPMs compile updated list of FY 2009 measures, and OCFO summarizes results and flags any remaining issues for Agency senior leadership
February 15, 2008	Draft FY 2009 NPM Guidance, measures, and supporting documents (i.e., Summary of Changes) due to OCFO
February 22, 2008	Draft FY 2009 NPM Guidance posted on OCFO's internet webpage
February 25 - March 31, 2008	Regions, states, and tribes provide comments on Draft FY 2009 NPM Guidance
April 21, 2008	Final FY 2009 NPM Guidance, measures, and supporting documents (i.e., Response to Comments; brief synopsis of feedback) due to OCFO
April 28, 2008	Final FY 2009 NPM Guidance, measures, and supporting documents posted on OCFO's internet webpage

III. Annual Commitment Process and System

This section of OCFO's guidance covers two areas:

- A. Performance Tracking and Reporting of FY 2008 Actual Results; and
- B. Negotiation and Agreement of FY 2009 Performance Commitments.

The Annual Commitment System (ACS), also known as Measures Central, is an important central repository of Agency performance information. Established in 2004, the ACS is currently used to track:

- Annual regional performance commitment information and results
- State grant template measures
- Internal NPM and regional measures
- Quarterly Management Report measures
- Organizational assessment measures, an element of the SES performance appraisal process managed by OARM.

The ACS will continue to evolve and add more data, such as regional priority measures, in FY 2008. User manuals, training materials, data entry requirements, and other information about the ACS can be found on OCFO's intranet website at <http://intranet.epa.gov/ocfo/acs>.

Consistent with its governance role for Agency-wide performance management and measurement, OCFO will develop and issue ACS policy changes and technical instructions in FY 2008. OCFO's goal is to ensure that data entered into ACS are timely, accurate, easily accessible and used to support program management. OCFO is committed to making performance information in ACS more accessible and developing additional performance and management reports in ORBIT. To learn more about ORBIT, visit <http://intranet.epa.orbit.gov>.

A. Performance Tracking and Reporting of FY 2008 Actual Results

The deadline for reaching agreement on FY 2008 performance commitments was October 8, 2007. OCFO will post regional reports showing the final FY 2008 agreed-upon commitments (those with the "Parties in Agreement" box checked) on EPA's Regional Commitments Quickplace (see sidebar) by October 19, 2007. OCFO expects regions and NPMs to adhere to their FY 2008 commitments, and to raise performance issues or explain differences that occur between the commitment and actual performance (e.g., using the "Comments" field on the results screen in the ACS).

Data quality in the ACS is vital since performance results inform Agency annual planning, budgeting and accountability processes. In FY 2008, OCFO will conduct ACS quality checks to ensure proper linkages between FY 2008 commitments and annual performance goals and measures in the Agency's Budget Automation System (BAS) and PERS, as appropriate, as well as reflection of agreements for FY 2008 annual commitments.

To protect the data quality of commitments, OCFO will continue to use a locking feature in FY 2008 to ensure that final agreed-upon commitments are not changed. NPMs and regions cannot change FY 2008 commitments in the ACS after October 31, 2007. However, for a two-week period in late Spring 2008, the ACS will reopen so that NPMs and regions can make mid-year adjustments, if necessary, **and only for commitments not associated with annual performance goals and measures in EPA's FY 2008 Budget.** Changes will be kept to a minimum and require justifications. *Please note: NPMs retain full discretion to administer policies they deem appropriate for approving or denying any adjustments, and they must inform OCFO of changes made and the rationale by June 6, 2008.*

1. Annual Commitment Measures

Consideration of actual performance results achieved against annual performance commitments is critical to inform Agency priority setting for FY 2010 planning and budgeting and for

Regional Commitments Quickplace and Reports for States and Tribes

What is it?

EPA password-protected external website for states and tribes to see annual performance commitment information.

Where is it?

<https://epagpx.rtp.epa.gov/commitments>

What's in there now?

Regional reports showing draft and final commitments for FY 2005-FY 2008

What's going to be in there later?

-Draft FY 2009 commitments (July 2008)
-Final FY 2009 commitments (Sept. 2008)

What will States and Tribes see in reports?

All NPM measures and draft and final commitments involving state or tribal performance contributions.

For more information see Attachment 11

negotiating agreements on FY 2009 regional performance commitments. To minimize burden, OCFO will coordinate time frames to the extent possible for FY 2008 performance reporting (e.g., QMR, PAR). OCFO will issue additional information on specific schedules and deadlines later in FY 2008. For planning purposes, the milestones chart in this section provides projected dates which may change to better coordinate the reporting schedules of various Agency processes.

2. State Grant Template Measures

Regions are required to enter state-by-state, end-of-year performance information in the ACS for all FY 2008 state grant template measures (unless reported to the NPM via some other means). OCFO will post reports of FY 2008 end-of-year performance information for these measures on EPA's Regional Commitments Quickplace website (refer to **Attachment 11** for details).

3. Performance Reports

Agency managers and staff can produce reports on performance information tracked in the ACS from the ACS itself and from ORBIT. ACS and ORBIT reports are similar in content but array the information differently. OCFO recommends the use of ORBIT reports since they are easier to run and allow greater flexibility in how information is displayed, including the use of graphics (e.g., bar charts). For more information about reports available from the ACS and ORBIT, see the ACS intranet website at <http://intranet.epa.gov/ocfo/acs> in "Training Materials, Handouts."

4. Analysis of FY 2008 Mid-year Performance Results and FY 2008 EOY Reporting

Every year EPA reports performance and financial results in its annual Performance and Accountability Report (PAR), due to OMB by November 15. The introduction of a more formal Agency-wide assessment of mid-year progress towards annual targets increases the transparency and use of performance information to inform program management and planning and budgeting decisions. For example, this mid-year check-in could inform decisions by Agency managers to adjust strategies and resources, as necessary, in order to meet end-of-year commitments.

To date, OCFO has required only qualitative reporting of mid-year status ("on track" or "not on track"), but NPMs and regions frequently enter results for a broad range of measures. These data are available for use by program managers and others on an *ad hoc* basis. Beginning with FY 2008 mid-year results, OCFO, working with NPMs, will conduct a more formal evaluation and reporting of mid-year data on an Agency-wide basis. Mid-year data reporting will coincide with the QMR reporting cycle. OCFO will produce and distribute reports and analysis of mid-year results in order to support the increased use of performance information in planning and budget decisions. The FY 2008 reports will focus senior management attention on progress to date in achieving annual commitments and potential adjustments needed to meet annual and longer-term targets. In this first year, analysis may focus on performance outliers; however, our experience with FY 2008 mid-year reporting and analysis will be the baseline from which to determine the scope and level of detail for analyses in FY 2009 and beyond. OCFO will design standard reports for use by regions and NPMs, as well as conventions for identifying mid-year data in the ACS.

End-of-year FY 2008 ACS collection and reporting will follow the PAR schedule, which will be issued in June 2008.

Key Milestones for the Performance Tracking of FY 2008 Actuals	
October 31, 2007	FY 2008 Commitments are locked out in the ACS to prevent any adjustments
Late April - mid May 2008	Actual FY 2008 mid-year data entered into the ACS
May 26 – June 6, 2008	ACS is reopened to allow mid-year adjustments to FY 2008 commitments, only if necessary
October- Early November 2008	Regions enter actual FY 2008 end-of-year data in the ACS

B. Negotiation and Agreement of FY 2009 Performance Commitments

Regions will set draft and final performance commitments for FY 2009 jointly with NPMs, and with input from states and tribes, to meet the annual and long-term goals set forth in EPA's *FY 2009 Annual Plan and Budget* and *2006-2011 Strategic Plan*. NPMs should exercise flexibility during negotiations with the regions on the annual performance commitments to support achievement of both national and regional priorities. NPMs will agree on final regional commitments in ACS and include any relevant comments or explanations.

For FY 2009, regions should develop state-by-state and tribal contributions to draft targets and final commitments, to the extent possible, and enter this information in the ACS. This affords additional transparency in the commitment process and allows states and tribes to identify their contributions to achieving regional commitments and NPM goals. For more information on entering state and tribal information in the ACS, see the Regional Users Manual available at <http://intranet.epa.gov/ocfo/acs>. **Note: NPMs and Regions are required to enter state-by state information for state grant template measures.**

1. Entering FY 2009 Annual Commitment Measures

As a starting point for FY 2009 annual commitment measures, OCFO will copy FY 2008 measures in the ACS as draft FY 2009 measures in December 2007. NPMs should then adjust the FY 2008 measures (e.g., edit, delete or add measures) to incorporate results of EPA's *FY 2009 Measures Review, Improvement and Streamlining* effort. OCFO will also copy the same measure assignments for regions, states, and tribes associated with each measure, but without FY 2008 performance information. NPMs should follow the measures and ACS governance criteria, identified earlier on page 6 of this guidance.

NPMs should finalize the text of their FY 2009 annual commitment measures in the ACS no later than April 25, 2008. At that time, NPMs must initiate the commitment process in the ACS by entering a value in the "Proposed Bid" field for each commitment measure. NPMs are responsible for starting the bidding process when updating or entering commitment measures in the ACS by either proposing an initial commitment for each measure or by populating the

“Proposed Bid” field with a value of “0.” Please note that measures text and ACS codes should remain static, to the extent practicable, from FY 2008 through FY 2011 and correspond to annual measures in EPA’s *FY 2009 Annual Plan and Budget* and long-term targets in EPA’s *2006-2011 Strategic Plan*.

2. Draft FY 2009 Commitments

NPMs and regions, with input from states and tribes, may begin negotiations on draft commitments as soon as measures are finalized in the ACS. Draft FY 2009 regional performance commitments are due in the ACS no later than July 7, 2008, and should reflect Deputy Regional Administrator (DRA) approval. Similar to the FY 2008 process, OCFO will run a report of draft FY 2009 regional performance commitments for states and tribes to see on EPA’s password-protected external Regional Commitments Quickplace Website.

Prior to posting on the Quickplace website, OCFO will send reports of draft FY 2009 regional performance commitments to EPA planning contacts for review for accuracy. OCFO will then post the reports on the Quickplace website for state and tribal partners to view. Please note that these reports will represent a snapshot of negotiations as of July 14; OCFO expects negotiations between NPMs and regions, with input from states and tribes, to continue throughout the Summer. Regions will engage proactively with states and tribes and encourage them to provide comments on the draft commitments before agreement is reached on the final performance commitments. For more information about the Regional Commitments Quickplace Website, see **Attachment 11**.

3. Final FY 2009 Commitments

Regions should enter final FY 2009 commitments in the ACS no later than September 19, 2008. NPMs and regions should come to agreement on the final FY 2009 commitments by October 6, 2008. It is important that DRAs remain informed throughout this process and consider cross-program impacts before approving final regional performance commitments by the September 19 deadline. NPMs are required to consider and respond to all regional commitments within 2 weeks from the time in which they are entered into the ACS. Please note: NPMs should **NOT** accept bids in the ACS before September 22, 2008 so that regions can consider fully state and tribal comments and retain cross-program flexibility in the negotiation process. OCFO will run a report of final agreed-upon FY 2009 commitments to be posted on OCFO’s Regional Commitments Quickplace Website (after review for accuracy by EPA planning contacts).

NPM and regions should elevate disputes or issues on commitments up their management chains and to the DAAs and DRAs, if necessary, for resolution. For unresolved issues, NPMs and regions should notify OCFO by September 26, 2008. Both NPMs and Regions should complete the template in **Attachment 10** to summarize issues for unresolved FY 2009 commitments.

Key Milestones for the Negotiation and Agreement of FY 2009 Performance Commitments	
December 2007	OCFO copies FY 2008 measures into the ACS as draft FY 2009 measures.
March – June 27, 2008	Regions engage NPMs, states and tribes in determining FY 2009 draft regional performance commitments.
April 25, 2008	Text of FY 2009 commitments finalized in the ACS; commitment measures opened for bidding.
July 7, 2008	FY 2009 draft regional performance commitments reflecting DRA approval due in the ACS.
July 7 – September 2008	Regions continue to engage NPMs, states and tribes in determining FY 2009 regional performance commitments.
July 14, 2008	FY 2009 draft annual regional commitments are posted on EPA Quickplace site.
September 5, 2008	State and tribal comment period ends on FY 2009 draft commitments ends.
September 19, 2008	FY 2009 regional final commitment information reflecting DRA approval due in the ACS.
September 22, 2008	NPMs begin accepting bids in the ACS.
September 26, 2008	NPMs and regions notify OCFO of any outstanding issues for dispute resolution.
October 6, 2008	NPMs and regions reach agreement in the ACS on FY 2009 performance commitments.
October 10, 2008	FY 2009 final commitments (for which agreement was reached) are posted on EPA Quickplace site.
October 29, 2008	FY 2009 Commitments are locked in the ACS.

Attachment 1

For More Information: Key Contacts and Web Links

OCFO Contacts

- General Information..... Rita Smith (202-564-5044)
- National Program Guidance.....Alison Pierce (202-564-2437)
- Development of NPM Priorities..... Maria Williams (202-564-3021)
- Measures Review and Streamlining.....John Hall (202-564-3020)
- State Grant Work Plans.....Paul Borst (202-564-1313)
- Annual Commitment System (general)Will Anderson (202-564-1434)
- Annual Commitment System (technical).....Steve Weiner (202-564- 3993)

OCIR Contacts

- Regional Priorities.....Judy Kertcher (202-564-3100)
- State Grant Work Plans.....Mike Osinski (202)-564-3792)

OGD Contacts

- State Grant Work Plans.....Howard Corcoran (202-564-1903)

Regional Planning Contacts

- Region 1.....Matt Hoagland (617-918-1361)
- Region 2.....Barbara Pastalove (212-637-3577)
- Region 3.....John Krakowiak (215-814-5611)
- Region 4.....Cory Berish (404-562-8276)
- Region 5.....Robert Tolpa (312-353-3121)
- Region 6.....Steve Mouck (214-665-6524)
- Region 7.....Richard Sumpter (913-551-7661)
- Region 8.....Ben Bielenberg (303-312-6513)
- Region 9.....Loretta Barsamian (415-947-4268)
- Region 10.....Kathy Kelley (206-553-2961)

Key Web Links

- EPA's 2006-2011 Strategic Plan
 - o <http://www.epa.gov/ocfo/plan/plan.htm> (external)
- OCFO NPM Guidance
 - o <http://www.epa.gov/ocfo/npmguidance/index.htm>
- Regional Priorities Quickplace (accessible only with password)
 - o <http://epaquickplace1.rtp.epa.gov/selectedregionalpriorities>
- Annual Commitment System
 - o <http://intranet.epa.gov/ocfo/acs> (internal)
- Quickplace Commitment Site (accessible only with password)
 - o <https://epaqp.rtp.epa.gov/commitments>
- State Grant Template Measures (for FY 2008):
 - o <http://www.epa.gov/ocfo/npmguidance/template.htm>
- Quarterly Management Report (QMR)
 - o <http://www.epa.gov/ocfo/qmr/index.htm>
- OCFO's Reporting and Business Intelligence Tool (ORBIT)
 - o <http://intranet.epa.orbit.gov>

Attachment 2

List of Regional Priorities* as of June 2007

	Northeast			Great South		Midwest		Great American West			U.S.-Mexico Border		Islands	
Priority	R1	R2	R3	R4	R6	R5	R7	R8	R9	R10	R6	R9	R2	R9
Agriculture (CAFO, nonpoint, etc.)	X	X	X					X	X	X				
Air Quality (PM, O3, toxics)*				X	X	X	X				X	X		
Beaches	X	X	X										X	X
Diesel	X	X	X	X	X	X	X	X	X	X	X	X		
Emergency Preparedness											X	X		
Energy Efficiency	X	X	X											
Energy: Oil and Gas Production					X			X	X	X				
Hurricane Recovery					X									
Land Preservation/Revitalization	X	X	X								X	X		
Lead Poisoning						X	X							
Mining								X	X	X				
Solid Waste													X	X
Wastewater	X	X	X								X	X	X	X
Water Quality: Drinking											X	X	X	X
Water Quality: Nutrient/Sediment Loadings	X	X	X	X	X	X	X	X						

* This table only includes those specific areas that the individual regional groups report to the DA every quarter. All Regions have national reporting requirements and additional regional measures that are not captured by this chart.

Attachment 3

FY 2009 Measures Criteria and Guidelines

OCFO is providing the following measures criteria and guidelines with the intent of continuing to move EPA towards maintaining a stable set of measures to identify and communicate performance trends over time. As measures are developed, NPMs and regions should consider how all of the performance measures work together to accomplish this overall goal.

I. Required Criteria:

All FY 2009 NPM guidance measures should meet the following criteria:

- Describe a key aspect of program progress in support of a strategic target (or the lowest level in the architecture with quantifiable measures) in EPA's *2006-2011 Strategic Plan*;
- Serve multiple performance assessment purposes to the extent possible (e.g., as an annual commitment measure and regional priority measure)
- Be useful to HQ or regions to track progress and guide decision making;
- Be clearly defined with an identified data source
- Make use of existing data systems where applicable (e.g., draw from SDWIS, PCS, etc. Note that some smaller programs will depend on other data sources, such as grantee reports);
- Be supported by data that can be reported in a timely fashion (within the reporting requirements of the measure); and
- Not be redundant with other measures.

II Suggested Criteria:

The Annual Commitment System (ACS) is the central repository of measures used for a variety of purposes, and with varying degrees of quantitative rigor. OCFO has provided the following general guidelines for NPMs to consider, and apply where appropriate:

- a. Measures in the ACS should be as quantitative as feasible, showing contributions of individual offices and regions (as well as states and tribes where appropriate) toward a higher agency measure whenever feasible, (e.g. an APM).

Generally, ACS measures should measure how much progress is being made. Where it makes sense, the measures should show specific contributions that the office or region is making towards the total goal of a performance measure.

In many cases, it will make more sense to track output measures that are linked to, but not identical to annual performance measures or higher level measures. For example, if a program is doing groundwork to set the framework for achieving a longer term strategic goal, the measure will be in terms of outputs (e.g. for the Air Program - number of states who begin work on State Implementation Plans).

b. Measures should have suitable and appropriate targets.

Most performance measures should have targets, as the target provides a goal against which progress can be measured. EPA's higher level measures, (e.g. APMs, PART measures) are required to have targets for this reason. Quantitative targets should be used when they are feasible and make sense, but a qualitative target (e.g., "completed") is also sometimes appropriate, depending on the nature and use of the measure.

There are exceptions where targets are not appropriate or feasible. Many enforcement measures will not have targets because it is not appropriate to set targets for the number of violations that will be enforced against. Other programs may involve variability which makes it difficult to set targets. In these cases tracking quantitative data without targets may still be useful, as it allows the program to track progress and/or trends.

c. Baselines should be provided, or programs should establish baselines.

Most measures should have baselines (or starting points) to provide the context for the performance target. The baseline should convey information used as context for judging whether a target is ambitious, either by providing historical and/or current levels, or by how far the target moves the program to fulfilling a longer-term goal. Even for output measures, a baseline will provide the context of how much work has been completed in the past. For new measures, the program may use the first year of data collection to establish the baseline.

d. Measures should be suited to fulfill their intended purpose.

While EPA has a goal of limiting measures and using the same measure for multiple purposes, measures must meet the needs and criteria for all contemplated purposes. This means that programs and regions should fully consider why they need the measure, and ensure that the language of the measure and the results that will be collected meet this purpose. This means that in some cases, a program may have two or more similar measures that collect slightly different information, or characterize the information in a different way. Programs should be careful that there is no redundancy.

e. To the extent possible, measures should be stable over time.

To allow the program and the agency in general to measure and compare progress over time, programs should keep measure metrics as constant and consistent as possible. Programs should balance the opportunities to enhance or improve measures with the need to use the data and measure to compare performance over time.

f. As applicable, measures should have data which meet specified requirements for data quality.

All data should comply with EPA data quality policies. Offices should maintain a record that includes data collection methods and quality assurance procedures, and share this information with regions and others collecting and/or using the data. The level of rigor required will depend on the particular measure and how it is used.

Attachment 4

Outline for Executive Summary

Short, consistently formatted executive summaries make NPM guidance documents easier to use for regions, other NPMs, states, and tribes. NPMs will use the outline provided below to prepare a concise Executive Summary (not more than 3 pages) for FY 2009 NPM guidance documents.

I. Program Office

II. Introduction/Context

- Briefly describe purpose and scope of the guidance.

III. Program Priorities

- List your program priorities for FY 2009.
- Identify and describe priorities, which are consistent with EPA's *FY 2009 Annual Plan and Budget* and EPA's *2006-2011 Strategic Plan*.
- Highlight areas within each priority where feedback from regions, states, and tribes would be beneficial.

IV. Implementation Strategies

- List and briefly describe FY 2009 implementation strategies.
- Identify and describe strategies consistent with EPA's *FY 2009 Annual Plan and Budget* and EPA's *2006-2011 Strategic Plan*.
- Highlight innovative strategies and regional approaches. Specify which areas within each strategy would benefit from regional, state, and tribal feedback.

V. Significant Changes to Priorities or Strategies from FY 2008

- Note where priorities have shifted and explain why, including integration of regional priorities, and support for the Administrator's priorities and for *FY 2009 Annual Plan and Budget* decisions.
- In particular, note strategies that may have been added or changed as a result of regional changes or shifts in priorities or staffing for FY 2009.
- Discuss the results of efforts to streamline and align measures associated with implementation strategies.

Attachment 5

Measures Appendix Template

ENVIRONMENTAL PROTECTION AGENCY

[PROGRAM OFFICE]

FY2009 NPM GUIDANCE MEASURES APPENDIX

[illegible]

State Grant Measures Appendix Template

[illegible]

Attachment 7

Explanation of Changes from FY 2008 to FY 2009

NPM Office

Instructions:

Change from FY2008 Guidance Document	Reason for Change	Location of Information
<i>Briefly describe the significant changes from the FY 2008 guidance and specify whether it is a deletion, addition, or modification. Changes to measures may be grouped. Add as many rows as necessary.</i>	<i>Provide the reason for the change and indicate whether the change is in response to an Agency initiative, internal process or comment on the draft guidance (e.g., Administrator's priorities, regional priorities, regulation, initiative, result of measures review, etc.).</i>	<i>Identify where in the document the new or modified information can be found by page number and section.</i>

Change from FY 2008 Guidance Document	Reason for Change	Effected Pages and Sections
Priorities		
Strategies		
Annual Commitment Measures		
Tracking Process		
Contacts		

Attachment 8

Response to Comments Summary on FY 2009 Draft NPM Guidance

NPM Office

Instructions:

Comment	Commenter(s)	Response	Change to Draft (Y/N/NA)	Modification.
Issue Area - Divide comments into general issue areas: e.g. NAAQS, indoor air, etc.)				
<i>Reproduce comment verbatim or in summation, as appropriate</i>	<i>Organization of Commenter (e.g., ECOS, New England Commissioners, Region X, etc.)</i>	<i>The general response should include adequate discussion and details to support the decision to modify/retain the draft language. Note: if more than one commenter raises the same issue, please cross-reference the individual responses.</i>		<i>Specify changes made in response to comments and identify all locations in the final guidance (e.g., page numbers, sections, etc)</i>

Comment	Commenter(s)	Response	Change to Draft (Y/N/NA)	Modification
Issue Area:				

Attachment 9

Explanation of Key Changes in Measures Targets from FY 2008 to FY 2009 NPM Program Office

Instructions:

Annual Commitment Code	Commitment Text	FY 2007 Result	FY 2008 Target	FY 2009 Target	Explanation
<i>List ACS code.</i>	<i>Include complete commitment text.</i>	<i>State the result for FY 2008.</i>	<i>State the target for FY 2008.</i>	<i>State the target for FY 2009.</i>	<i>Describe the reason for change in targets only where the target for FY 2009 is less than the final result for FY 2007 or the target for FY 2008.</i>

Annual Commitment Code	Commitment Text	FY 2007 Result	FY 2008 Target	FY 2009 Target	Explanation

Attachment 10

Summary of Issues for Unresolved FY 2009 Annual Commitments

NPM Office/Regional Office

Instructions:

NPM or RO	Annual Commitment	Offices Involved	Issue	Status of negotiations	Comments
<i>NPM or RO identifying issue</i>	<i>List both ACS code and commitment text</i>	<i>List all offices and contacts involved in the negotiation.</i>	<i>Describe briefly the unresolved issue(s) and provide all relevant information.</i>	<i>Describe most recent actions and contacts, including highest level of elevation.</i>	<i>Provide any other information, including desired OCFO involvement.</i>

NPM or RO	Annual Commitment	Offices Involved	Issue	Status of negotiations	Comments

EPA's Regional Commitments Quickplace Website

OCFO will post reports of the FY 2009 draft regional performance commitments for states and tribes to review no later than July 14, 2007. Ten reports (one for each region) will be available via a password-protected Quickplace site. Each report includes draft regional commitments for performance measures that reflect a state and/or tribal contribution, drawn from FY 2009 NPM guidance documents, which will be issued in April 2008.

Background Information

Over the last few years EPA has continued to develop a more streamlined and transparent process for NPMs and regions to reach agreement on annual performance commitments. Following the issuance of FY 2009 NPM guidance documents in April 2008, regions will engage NPMs, states, and tribes in the process of determining draft and final annual performance commitments. This annual commitment process, which synchronizes the development of draft and final commitments across the five NPMs, enables senior managers to review all performance commitments concurrently and make more informed decisions.

NPMs and regions will encourage states and tribes to review and provide comments on the draft commitments before agreement is reached on the final performance commitments. EPA's Regional Commitments Quickplace Website facilitates review of the draft regional performance commitments and can be accessed by following the instructions provided below.

Instructions for Accessing the EPA Regional Commitments Website

- 1) Go to <https://epaqpx.rtp.epa.gov/commitments>
- 2) Enter your user name and password when the pop up screen appears.
User name: Commitments Visitor
Password: **Password to be sent separately.**
NOTE: The Password is case sensitive and expires after 90 days
- 3) The first screen you will see is the main page, or **Welcome** page, which contains basic information about the website and is automatically displayed upon entering the site.
NOTE: The site works best with an Internet Explorer web browser.
- 4) The **Library** page contains the files of draft target reports. This page can be accessed by clicking Library under the Contents on the left side of the screen.
- 5) Within the Library page, files of the draft targets are titled by region and contained under the heading "**Draft Regional Performance Commitments.**" Click on this heading to view a listing of the files. Files may be downloaded or viewed and printed.
- 6) The files are saved as **PDF documents** and an Adobe Acrobat Reader is required to view them. A link is available on the site to download a free copy of Acrobat® Reader.

Attachment 12

Key Milestones for FY 2009

Process Codes: G = NPM Guidance
 ACP = Annual Commitment Process
 MR = Measures Review and Streamlining

Target date	Process Code	FY	Milestone	NPM/Regional Action Item	Page
October 18, 2007	G	08, 09	OCFO Technical Guidance on NPM Guidance and the Annual Commitment Process and System released		
October 31, 2007	ACP	08	FY 2008 Commitments are locked in the ACS to prevent adjustments.		11
Mid-November, 2007	MR	09	Senior management review and feedback on changes to FY 2009 measures		5
December 2007	ACP	08	OCFO copies FY 2008 measures into the ACS as draft FY 2009 measures		13
January 2008	MR	09	NPMs compile updated list of FY 2009 measures, and OCFO summarizes results and flags any remaining issues for Agency senior leadership	*	6
February 15, 2008	G	09	Draft FY 2009 NPM Guidance, measures and supporting documents (i.e. Summary of Changes) due to OCFO	*	9
February 22, 2008	G	09	Draft FY 2009 NPM Guidance posted on OCFO's internet webpage		9
February 25 – March 31, 2008	G	09	Regions, states, and tribes provide comments on Draft FY 2009 NPM Guidance	*	9
Late April – Mid-May, 2008	ACP	08	Actual FY 2008 mid-year data entered into the ACS	*	12
March – July, 2008	ACP	09	Regions engage NPMs, states, and tribes in determining FY 2009 draft regional performance commitments	*	13
April 21, 2008	G	09	Final FY 2009 NPM Guidance, measures and supporting documents (i.e. Response to Comments and brief synopsis of feedback) due to OCFO.	*	9
April 25, 2008	ACP	09	Text of FY 2009 commitments finalized in the ACS; commitment measures opened for bidding	*	13
April 28, 2009	G	09	Final FY 2009 NPM Guidance, measures and supporting documents posted on OCFO's internet webpage		9
May 26, - June 6, 2008	ACP	08	ACS is reopened to allow mid-year adjustments to FY 2008 commitments, only if necessary	*	11

Target date	Process Code	FY	Milestone	NPM/Regional Action Item	Page
			NPMs inform OCFO of changes with rationale		
July 7, 2008	ACP	09	FY 2009 draft regional performance commitments reflecting DRA approval due in the ACS	*	14
July 14 – September 2008	ACP	09	Regions continue to engage NPMs, states, and tribes in determining FY 2009 regional performance commitments	*	14
July 14, 2008	ACP	09	FY 2009 draft annual regional commitments are posted on EPA Quickplace site		14
September 5, 2008	ACP	09	State and tribal comment period on draft FY 2009 commitments ends		
September 19, 2008	ACP	09	FY 2009 regional final commitment information reflecting DRA approval due in ACS	*	14
September 22, 2008	ACP	09	NPMs begin accepting bids in the ACS	*	14
September 26, 2008	ACP	09	NPMs and Regions notify OCFO of any outstanding issues for dispute resolution	*	14
October – Early November, 2008	ACP	08	Regions enter actual FY 2008 end-of-year data in the ACS	*	12
October 6, 2008	ACP	09	NPMs and regions reach agreement in the ACS on FY 2009 performance commitments	*	14
October 10, 2008	ACP	09	FY 2009 final commitments (for which agreement was reached) are posted on EPA Quickplace site		14
October 29, 2008	ACP	09	FY 2009 Commitments are locked in the ACS		15

Attachment 13

NPM Checklist for FY 2009 Guidance

January, 2008:

- ☐ NPMs compile updated draft list of FY 2009 measures, and OCFO summarizes results and flags any remaining issues for Agency senior leadership

By February 15, 2008:

- ☐ NPMs submit their Draft FY 2009 NPM Guidance to OCFO. Submissions MUST include:
 - FY2009 Measures Appendix, reflecting the results of the Measures Review and Streamlining, and including draft regional and national targets to the extent practicable;
 - State Grant Measures Appendix; and
 - Explanation of Key Changes Summary.

Late April – Mid-May, 2008:

- ☐ FY 2008 mid-year results data entered into the ACS

By April 21, 2008:

- ☐ NPMs submit their Final FY 2009 NPM Guidance. Submissions MUST include:
 - Updated FY2009 Measures Appendix, including draft regional and national targets;
 - Updated State Grant Measures Appendix;
 - Response to Comments Summary; and
 - Explanation of Key Changes in Measures Targets.

By April 25, 2008:

- ☐ NPMs finalize text of FY 2009 commitments in the ACS and open commitment measures for bidding.
 - NPMs should use ACS codes consistent with those used in the FY2008 process.

May 26 - June 6, 2008:

- ☐ ACS re-opens for **limited** mid-year adjustments on commitments not associated with APGs or the EPA's FY 2008 Budget. NPMs oversee process for approving or denying adjustments, and inform OCFO of any changes made by June 6.

By July 7, 2008:

- ☐ Regions input their FY 2009 draft regional performance commitments in ACS

By July 14, 2008:

- ☐ FY 2009 draft regional commitments are posted on EPA Quickplace site
 - NPMs and Regions review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

By September 19, 2008:

- ☐ FY 2009 regional final commitment information due in ACS

Beginning September 22, 2008:

- ☐ NPMs begin accepting bids in the ACS

By September 26, 2008:

- ☐ NPMs notify OCFO of any outstanding issues with unresolved bids for dispute resolution
 - Issues identified should have been raised to the DAA/DRA level

October – Early November, 2008:

- ☐ NPMs and Regions enter FY 2008 end-of-year results data in the ACS

By October 6, 2008:

- ☐ NPMs and regions reach agreement in the ACS on FY 2009 performance commitments

By October 10, 2008:

- ☐ FY 2009 final commitments (for which agreement was reached) are posted on the EPA Quickplace
 - o NPMs and Regions review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

By October 29, 2008:

- ☐ FY 2009 commitments are locked in the ACS

Attachment 14

Regional Checklist for FY 2009 Guidance

February 22, 2008:

- ☐ Draft FY 2009 NPM Guidance documents including Summary of Significant Changes and reflecting results of Measures Review posted on OCFO's internet webpage

By February 25 – March 31, 2008:

- ☐ Regions, states, and tribes provide comments on Draft FY 2009 NPM Guidance to NPMs

Late April – Mid-May, 2008:

- ☐ Regions enter FY 2008 mid-year results data into the ACS

By April 28, 2008:

- ☐ Final NPM Guidance Documents including Response to Comments summaries posted on OCFO's internet webpage

By April 28, 2008:

- ☐ NPMs finalize text of FY 2009 commitments in the ACS and open commitment measures for bidding

March - July, 2008:

- ☐ Regions engage NPMs, states, and tribes in determining FY 2009 draft commitments

May 26 - June 6, 2008:

- ☐ ACS re-opens for **limited** mid-year adjustments on commitments not associated with APGs or the EPA's FY 2008 Budget. Regions work with NPMs, who retain discretion for approving or denying adjustments.

By July 7, 2008:

- ☐ Regions put FY 2009 draft regional performance commitments reflecting DRA approval in the ACS
 - o Draft commitments should include draft state-by-state breakouts to the extent possible

By July 14, 2008:

- ☐ FY 2009 draft annual regional commitments are posted on EPA Quickplace site
 - o Regions and NPMs review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

July 14 - September 2008:

- ☐ Regions continue to engage with NPMs, states, and tribes in determining FY 2009 regional performance commitments
 - o State and tribal comment period on draft commitments ends September 5, 2008

By September 19, 2008:

- ☐ Regions input final FY 2009 commitment information reflecting DRA approval in ACS

September 22, 2008:

- ☐ NPMs begin accepting bids in the ACS

By September 26, 2008:

- ☐ Regions and NPMs notify OCFO of any outstanding issues with unresolved bids for dispute resolution
 - Issues identified should have been raised to the DAA/DRA level

October – Early November, 2008:

- ☐ Regions enter FY 2008 end-of-year results data in the ACS

By October 6, 2008:

- ☐ Regions and NPMs reach agreement in the ACS on FY 2009 performance commitments
 - Final commitments should include draft state-by-state breakouts to the extent possible

By October 10, 2008:

- ☐ FY 2009 final commitments (for which agreement was reached) are posted on the EPA Quickplace
 - NPMs and Regions review ORBIT reports produced by OCFO to insure accuracy of data entry in ACS

October 29, 2008:

- ☐ FY 2009 Commitments are locked in the ACS.

Attachment 15

State and Tribal Opportunities for Engagement 2009 NPM Guidance and Annual Commitments Process

The following are the key milestones relevant to states and tribes in the 2009 NPM Guidance and annual commitment processes. This timeline is a subset of the milestones presented in **Attachment 12** presented by topic area.

FY 2009 Commitment Negotiation

March - July, 2008:

- ☐ Regions engage NPMs, states, and tribes in determining FY 2009 draft regional performance commitments.

July 14, 2008:

- ☐ FY 2009 draft annual regional commitments are posted on EPA Quickplace site for state and tribal review. Regions engage with NPMs, states, and tribes to determine final FY 2009 regional performance commitments.

September 5, 2008:

- ☐ State and tribal comment period on draft commitments ends.

NPM Guidance Documents Review

February 25 – March 31, 2008:

- ☐ Draft FY 2009 NPM Guidance with summary of changes and draft FY 2009 measures posted on OCFO's internet webpage.
- ☐ Regions, states, and tribes provide comments on Draft FY 2009 NPM Guidance.

April 28, 2008:

- ☐ Final FY 2009 NPM Guidance, measures, and supporting documents posted on OCFO's internet webpage.

Measures Review and Streamlining

November 9 - 16, 2007:

- ☐ States comment on FY 2008 Grant measures and make recommendations for FY 2009. These are provided to OCFO. OCFO will forward comments to appropriate NPMs.

November 19 – Mid December 2007:

- ☐ NPMs (with LRCs) share initial list of proposed FY09 measures for comment with Agency and receive comments on proposed measures. (Option for State review of grant measures if necessary/in discussion)

February 25 – March 31, 2008:

- ☐ Draft FY 2009 NPM Guidance with summary of changes and results of measures review posted on OCFO's internet webpage.
- ☐ Regions, states, and tribes provide comments on Draft FY 2009 NPM Guidance.